



7A-27 PUBLIC ACCESS POLICY FOR RESEARCH PUBLICATIONS

Responsible Executive: Gary K. Ostrander, Vice President for Research

Approving Official: Gary K. Ostrander, Vice President for Research

Effective Date: July 15, 2016

Revision History:

I. INTRODUCTION

Florida State University, consistent with the University's mission to preserve, expand, and disseminate knowledge, is committed to disseminating its research and scholarship as widely as possible. In particular, as part of a public university system, the University is dedicated to making its scholarship available to the people of Florida and beyond. Furthermore, the University recognizes the benefits that accrue to its authors as individual scholars and to the scholarly enterprise from such wide dissemination. The University's Faculty Senate has already taken a significant step toward ensuring such dissemination by unanimously adopting a campus-wide open access policy on February 17, 2016.¹

As a greater number of federal funding agencies implement public access mandates,² it has become clear that the University must take an active role in ensuring that researchers make publicly available the scholarly articles and data arising from University research. The policy in this document establishes responsibilities and guidelines for complying with these public access mandates. This policy is intended to be supplemented by applicable policies established by funding agencies and other relevant University and departmental policies, including the Faculty Senate Open Access Policy and the University Research Data Management Policy (7A-26).

II. POLICY

Definition of Scholarly Articles

"Scholarly articles" are articles that describe scholars' research and are provided to any interested parties for the sake of inquiry and knowledge without expectation of payment. Such articles are typically presented in peer-reviewed journals and conference proceedings.

Responsibilities of the University

University ownership and stewardship of the scientific record for projects conducted by

¹ See <http://diginole.lib.fsu.edu/repository/open-access-policy>

² See <https://www.research.fsu.edu/research-compliance/open-access-open-data-data-management/>



university faculty, staff, and students through the use of university facilities and resources, is based on state law, federal regulation (2 CFR 200.315), and sound management principles.

The responsibilities of the University in this regard include, but are not limited to, complying with the terms of sponsored project agreements, many of which require that scholarly articles arising from grant-funded research be made publicly and freely available within a specified time after publication.

Responsibilities of the Principal Investigator

- The principal investigator (“PI”) has primary responsibility for selecting the venue of publication for research findings arising from sponsored projects.
- The PI ultimately is responsible for ensuring that the final versions of peer-reviewed scholarly manuscripts are made publicly available in an appropriate repository. Where publisher policies permit, the final published version may be deposited.

Ownership of Scholarly Articles

- In accordance with Article 18 of the UFF-BOT Collective Bargaining Agreement (2013-2016), the University grants faculty authors exclusive rights in their scholarly publications, including scholarly articles.
- Following the adoption of the Faculty Senate Open Access Policy (“OA Policy”) on February 17, 2016, faculty authors grant the University a non-exclusive license to exercise the copyright in their scholarly articles for the purpose of making said articles widely and freely available in DigiNole, the University’s open access repository.³
- Upon express direction by a faculty author, application of the OA Policy license will be waived for a particular article or access to the article will be delayed for a specified period of time, as allowed by funding agency regulations. The opt-out should apply only to making the article OA, not to deposit. Therefore, deposit of all faculty peer-reviewed articles is required, even if some are kept dark. Opt-outs may be either permanent or temporary with an option to renew, so that dark deposits may eventually be made open.

Publication and Access

- The PI may select the venue of publication for scholarly articles arising from University research, unless specific terms of sponsorship or other agreements supersede this right.
- While the PI may choose to waive application of the OA Policy license for a particular article, the PI must comply with all public access requirements that are

³ DigiNole is available at: <http://diginole.lib.fsu.edu/repository>



laid out by the funding agency sponsoring the research.

- Federal funding agencies typically require PIs to deposit the accepted manuscript version of scholarly articles in an open access repository within a specified time after publication. For non-sponsored research, articles shall be deposited when accepted for publication.
- It is recommended that the full text and metadata (i.e., full citation information) be included in the deposit. Metadata should be made openly available upon deposit, even if the full text is initially kept dark (i.e., not accessible for a brief embargo period). FSU will ensure full public access to publications' metadata is without charge upon first publication in a data format that ensures interoperability with current and future search technology. Where possible, the metadata will provide a link to the location where the full text and associated supplemental materials will be made available after the embargo period, FSU will ensure that attribution to authors, journals, and original publishers is maintained.
- Many funding agencies require deposit in a specific repository, while others require deposit in a repository of the grantee's choice.⁴
- In cases where the funding agency requires deposit in an unspecified repository, the PI should deposit in DigiNole, the University's open access repository.
- In cases where the funding agency requires deposit in a specific repository, the PI may deposit in DigiNole and request that University Libraries staff facilitate deposit in the repository specified by the funding agency.
- In cases of doubt, the PI should contact the University Libraries' Public Access Team at lib-publicaccess@lists.fsu.edu.
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III. LEGAL SUPPORT, JUSTIFICATION, AND REVIEW OF THIS POLICY

2 CFR 200.316 (Code of Federal Regulations), Intangible Property, in addition to Agency Implementations thereof

Florida Statute 1004.22

Florida State University Faculty Senate Open Access Policy, February 17, 2016

Office of Science and Technology Policy Memorandum, "Increasing Access to the Results of Federally Funded Scientific Research" February 22, 2013

Non-Federal Funding Agencies Open Access Regulations

⁴ See <https://www.lib.fsu.edu/dss/public-access-toolkit>



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Acknowledgements: Language from the University of California and Harvard University open access policies was instrumental in the development of this policy.

This policy will be reviewed periodically and updated when necessary.

/s/ Gary K. Ostrander

7/15/2016

Signature of Approving Authority

Final Review Date